



LIBRARY OF VIRGINIA

Archives, Records, and Collections Services
800 E. Broad St., Richmond VA 23219
(804) 692-3600

RECORDS RETENTION AND DISPOSITION SCHEDULE

SPECIFIC SCHEDULE NO. 140-021

Criminal Justice Services, Dept. of

Regulatory Affairs, Division of

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition policies listed below:

AGENCY APPROVAL

AGENCY HEAD OR DEPUTY

AGENCY RECORDS OFFICER

STATE APPROVAL

STATE ARCHIVIST

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE:

8/23/2013

POLICIES FOR RECORDS RETENTION AND DISPOSITION

1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, § 42.1-76, et seq. of the Code of Virginia for the retention and disposition of the records as stated on the attached page(s).
2. This schedule supersedes previously approved applicable schedules.
3. This schedule is used in conjunction with the Certificate of Records Destruction (RM-3 Form). A signed RM-3 Form must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 Form must be sent to Library of Virginia (LVA).
4. Any records created prior to 1913 must be offered, in writing, to LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from LVA. A copy of the offer must be attached to the RM-3 Form when it is submitted to LVA.
5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
6. All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations, or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.

7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance with 17VAC15-20-10, et seq. of the Virginia Administrative Code, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency or locality to do so.
8. Custodians of records must ensure that information in confidential or privacy-protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Ultimate destruction is accomplished through shredding, pulping, burning, and overwriting or physically destroying media. Deletion of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Records containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
9. Under the Virginia Public Records Act, § 42.1-79, LVA is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. LVA may purge select records in accordance with professional archival practices in order to ensure efficient access.
10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Enforcement Audits</u> This series documents compliance audits of private security businesses and schools. This series may include, but is not limited to: initial audits, self-audits, field audits and school audits. 6VAC20-130-100	008720	10 Years after audit	Confidential Destruction
<u>Investigative Cases - Compliance Obtained</u> This series documents cases in which violations were founded but no sanctions were imposed and voluntary compliance was obtained. This series may include, but is not limited to: case reports, transmittal sheets, tracking sheets, orders, hearing records and recordings, appeals, reviews, statements, agreements, receipts, work orders, photographs, and other supporting documentation. COV 9.1-142	008721	25 Years after closed	Confidential Destruction
<u>Investigative Cases - Founded Complaints</u> This series documents cases when investigation reveals that an allegation is legally sufficient for further action. This series may include, but is not limited to: case reports, transmittal sheets, tracking sheets, orders, hearing records and recordings, appeals, reviews, statements, agreements, receipts, work orders, photographs, and other supporting documentation. COV 9.1-142	008715	25 Years after closed	Confidential Destruction
<u>Investigative Cases - Undetermined - Respondent Not Located</u> This series documents investigations that could not be completed because the respondent could not be located. This series may include, but is not limited to: case reports, transmittal sheets, tracking sheets, orders, hearing records and recordings, appeals, reviews, statements, agreements, receipts, work orders, photographs, and other supporting documentation. COV 9.1-142	008716	25 Years after expiration	Confidential Destruction



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Investigative Cases - Undetermined - Voluntary Surrender or License Expiration</u> This series documents investigations that were not completed because the respondent's license expired or the respondent voluntarily surrendered license/credentials. This series may include, but is not limited to: case reports, transmittal sheets, tracking sheets, orders, hearing records and recordings, appeals, reviews, statements, agreements, receipts, work orders, photographs, and other supporting documentation. COV 9.1-142	008717	25 Years after closed	Confidential Destruction
<u>Investigative Cases - Unfounded Complaints</u> This series documents complaints that could not be substantiated and/or were found not legally sufficient for further action. This series may include, but is not limited to: case reports, transmittal sheets, tracking sheets, orders, hearing records and recordings, appeals, reviews, statements, agreements, receipts, work orders, photographs, and other supporting documentation. COV 9.1-142	008718	25 Years after closed	Confidential Destruction
<u>Ratified Consent Orders</u> This series documents violation descriptions and imposed sanctions agreed upon by the department and a regulant in regard to founded investigative cases. This series may include, but is not limited to: ratified (signed) consent orders. COV 9.1-141	008719	50 Years after last action	Confidential Destruction